

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy**

**Office of Science**

**Office of Basic Energy Sciences**

**Funding Opportunity Number: DE-FG02-06ER06-13**

**Announcement Type: Amendment #1**

**CFDA Number: 81.049**

**A change was made to this FOA Announcement on April 19, 2006. A new requirement was added; see the red text on page 5, PART I – Funding Opportunity Description – Summary, third paragraph.**

**ISSUE DATE: March 7, 2006**

**PREAPPLICATION DUE DATE: May 17, 2006**

**APPLICATION DUE DATE: August 30, 2006, 8:00 pm Eastern Time**

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## **NOTE: NEW REQUIREMENTS FOR GRANTS.GOV**

**Where to Submit:** Applications must be submitted through Grants.gov to be considered for award.

**Registration Requirements:** There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted). Use the Grants.gov Organization Registration Checklist at [www.grants.gov/assets/OrganizationRegCheck.doc](http://www.grants.gov/assets/OrganizationRegCheck.doc) to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 14 days to complete these requirements. It is suggested that the process be started as soon as possible.

**Questions:** Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). Part VII of this announcement explains how to submit other questions to the U.S. Department of Energy.

### **Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 4. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the four e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

After receipt of email Number 4, you can view your application at DOE's e-Center, <http://e-center.doe.gov>. A User Id and password are required. If you already have a User Id and password you do not need to re-register.

**VERY IMPORTANT – Download PureEdge Viewer:** In order to download the application package, you will need to install PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site: [www.grants.gov/DownloadViewer](http://www.grants.gov/DownloadViewer).

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## PART I – FUNDING OPPORTUNITY DESCRIPTION

**SUMMARY:** The Office of Basic Energy Sciences (BES) of the Office of Science (SC), U.S. Department of Energy (DOE), in keeping with its mission to assist in strengthening the Nation's scientific research enterprise through the support of fundamental science and the experimental tools to perform basic research, announces its interest in receiving applications for mid-scale instrumentation projects which includes instrument upgrades, instrument replacements, and new instrumentation. Scientific progress is predicated on observations of new phenomena, which often involve the development and implementation of improved instrumentation and tools. Many instruments have a lifetime of 7-10 years after which the instruments may undergo major upgrades or be retired. Thus, 10-15% of a program's capital investment in instruments must be upgraded or replaced every year. There is a significant national need for mid-scale instruments that serve multiple users who are engaged in performing basic research in support of the nation's energy mission. Two broad categories of instrumentation will be considered for funding; 1) x-ray and neutron scattering instrumentation including the development of new instrument concepts, and 2) other mid-scale instrumentation including, but not limited to, electron microcharacterization and scanning probe microscopy, laser-based systems for ultrafast science, table-top x-ray sources, and diagnostic applications, high field NMR's, ESR's, specialized mass spectrometers, high field magnets, crystal growth facilities, and computer clusters or midrange servers in the 1-2 Teraflop range capable of supporting local production computing for a group effort.

The ability to conduct innovative fundamental research which enables science relevant to BES' Core Research Activities should be emphasized in each application. More detailed descriptions of these core research areas can be found at

<http://www.science.doe.gov/bes/brochures/CRA.html>. This Notice is restricted to principal investigators currently supported by BES, and the instrumentation requested must be utilized in conjunction with BES-funded projects which benefit a large research group. X-ray and neutron scattering instrumentation requests are for construction and implementation at DOE-supported synchrotron light sources and neutron sources only.

The application must contain one paragraph addressing how the proposed research will address one or more of the four BES long-term program measures used by the Office of Management and Budget to rate the BES program annually. These measures may be found at [http://www.sc.doe.gov/bes/BES\\_PART\\_Performance\\_Measures.pdf](http://www.sc.doe.gov/bes/BES_PART_Performance_Measures.pdf).

## **PART II – AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT.**

DOE anticipates awarding grants under this program announcement.

### **B. ESTIMATED FUNDING.**

It is anticipated that up to \$20 million annually will be available in FY07 for this Notice. Approximately \$10 million annually will be available for awards to support instrument upgrades, instrument replacements, and new instrumentation at the x-ray and neutron scattering facilities, and approximately \$10 million will be available for other mid-scale instrumentation, contingent upon the availability of appropriated funds. These funds will be competed among both academic and laboratory institutions, and the resulting instruments and beamlines will be made available to the entire U.S. scientific research community. Applications will be considered that are relevant to the complete range of BES-supported research, including such areas as materials sciences, surface science, condensed matter physics, atomic and molecular science, chemical physics, polymers and soft materials, nanostructured materials, x-ray microscopy, tomography, ultrafast phenomena, interfacial studies, and imaging. Two types of awards will be considered: one-time acquisitions of equipment and multiyear beamline construction and instrument development projects. Requested personnel support should be limited to activities related to instrument development and construction. The number of awards and the range of funding will depend on the number of applications received and selected for award.

### **C. MAXIMUM AND MINIMUM AWARD SIZE.**

Ceiling (i.e., the maximum amount for an individual award made under this announcement): See Above

Floor (i.e., the minimum amount for an individual award made under this announcement): See Above

### **D. EXPECTED NUMBER OF AWARDS.**

The number of awards will be contingent on satisfactory peer review, the availability of appropriated funds and the size of the awards.

### **E. ANTICIPATED AWARD SIZE.**

N/A

### **F. PERIOD OF PERFORMANCE.**

N/A

### **G. TYPE OF APPLICATION.**

N/A

### **PART III - ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS.**

All types of domestic applicants are eligible to apply, except other Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

Researchers from Federally Funded Research and Development Centers (FFRDCs) or DOE National Laboratories should respond to Program Announcement LAB 06-13, available at the following web address: [http://www.science.doe.gov/grants/LAB06\\_13.html](http://www.science.doe.gov/grants/LAB06_13.html).

#### **B. COST SHARING**

Cost sharing is not required.

#### **C. OTHER ELIGIBILITY REQUIREMENTS.**

This Notice is restricted to principal investigators currently supported by BES, and the instrumentation requested must be utilized in conjunction with BES-funded projects which benefit a large research group. X-ray and neutron scattering instrumentation requests are for construction and implementation at DOE-supported synchrotron light sources and neutron sources only.



## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package". Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer (See: <http://www.grants.gov/DownloadViewer>).

### B. LETTER OF INTENT AND PREAPPLICATION.

#### 1. Letter-of-Intent.

Letters-of-Intent are not required.

#### 2. Preapplication.

Potential applicants are **required** to submit a brief preapplication. Preapplications referencing Program Notice DE-FG02-06ER06-13, must be received by DOE by 4:30 p.m., Eastern Time, **May 17, 2006**. Preapplications will be reviewed for conformance with the guidelines presented in this Notice and suitability in the technical areas specified in this Notice. A response to the preapplications encouraging or discouraging formal applications will be communicated to the applicants by **June 30, 2006**.

Preapplications referencing Program Notice DE-FG02-06ER06-13 should be sent as PDF file attachments via e-mail to: **midscaleinstrumentation@science.doe.gov** with "DE-FG02-06ER06-13" as the subject. No FAX or mail submission of preapplications will be accepted. Do not submit preapplications to grants.gov.

### C. CONTENT AND FORM OF APPLICATION – SF 424 (R&R)

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL-Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

#### 1. SF 424 (R&R)

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>.

## 2. RESEARCH AND RELATED Other Project Information.

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

### **Project Summary/Abstract (Field 6 on the Form)**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to publication. It should be a single page that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click "Add Attachment."

### **Project Narrative (Field 7 on the form)**

The project narrative must not exceed 20 pages, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right). Evaluators will only review the number of pages specified in the preceding sentence. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. **All applications should be in a single PDF file.** To attach a Project Narrative, click "Add Attachment."

The Research & Related Other Project Information form of the grants.gov template should be completed in the following manner. Project Narrative is Field 7 on the form. The first page of your narrative must include the following information:

Applicant/Institution:

Street Address/City/State/Zip:

Principal Investigator:

Address:

Telephone Number:

Email:

Science Element:

DOE/Office of Science Program Office:

DOE/Office of Science Program Office Technical Contact:

DOE Grant Number (if Renewal or Supplemental Application):

Is this a Collaboration? If yes, please list ALL Collaborating Institutions/PIs\* and indicate which ones will also be submitting applications. Also indicate the PI who will be the point of contact and coordinator for the combined research activity.

\* Note that collaborating applications must be submitted separately.

**Project Narrative, 20 pages or less,** Project Narrative must not exceed 20 pages, including tables and figures, but exclusive of attachments. The application must contain an abstract or project summary, short vitae, and letters of intent from collaborators if appropriate, a listing of all current and pending federal support.

**Biographical Sketches**  
**Current and Pending Support**  
**Letters of Intent**  
**Facilities and Resources**  
**Literature Cited**

Applications not meeting these requirements will be deemed ineligible during the initial screening process.

The project narrative must include:

- Project Objectives.  
This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- Merit Review Criterion Discussion.  
The section should be formatted to address each of the merit review criterion and sub-criterion listed in Section V. A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria.  
**DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.**
- Evaluation Phase  
This section must include a plan and metrics to be used to assess the success of the project.
- Project Performance Site  
Indicate the primary site where the work will be performed. If a portion of the work will be performed at any other sites, identify those sites, also.
- Biographical Sketch Appendix  
Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file.** The biographical sketch appendix will not count in the project narrative page limitation. The biographical information for each person must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

Education and Training. Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

Research and Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications. Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.

- Current and Pending Support. List all current and pending support. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.
- Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers. Provide the following information in this section:

Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."

Graduate and Postdoctoral Advisors and Advisees: List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last 5 years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates during the past 5 years.

### **Bibliography & References Cited (Field 8 on the form)**

Provide a bibliography of any references cited in the Project Narrative. Each

reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. **In order to reduce the number of files attached to your application, please provide the Bibliography and References Cited information as an appendix to your project narrative. Do not attach a file in field 8.** This appendix will not count in the project narrative page limitation.

#### **Facilities & Other Resources (Field 9 on the form)**

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. **In order to reduce the number of files attached to your application, please provide the Facility and Other Resource information as an appendix to your project narrative. Do not attach a file in field 9.** This appendix will not count in the project narrative page limitation.

#### **Equipment (Field 10 on the form)**

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. **In order to reduce the number of files attached to your application, please provide the Equipment information as an appendix to your project narrative. Do not attach a file in field 10.** This appendix will not count in the project narrative page limitation.

#### **Other Attachment (Field 11 on the form)**

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, **provide the information as an appendix to your project narrative. Do not attach a file in field 11.**

### **3. RESEARCH AND RELATED BUDGET.**

Complete the Research and Related Budget form in accordance with the instructions on the form (Activate Help Mode to see instructions) and the following instructions. You must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G).

**Budget Justification (Field K on the form).**

Provide the required supporting information for the following costs (See R&R Budget instructions): equipment; domestic and foreign travel; participant/trainees; material and supplies; publication; consultant services; ADP/computer services; subaward/consortium/contractual; equipment or facility rental/user fees; alterations and renovations; and indirect cost type. Provide any other information you wish to submit to justify your budget request. If cost sharing is required, provide an explanation of the source, nature, amount and availability of any proposed cost sharing. Attach a single budget justification file for the entire project period in Field K. The file automatically carries over to each budget year.

**4. R&R SUBAWARD BUDGET ATTACHMENT(S) FORM.**

**Budgets for Subawardees, other than DOE FFRDC Contractors.** You must provide a separate cumulative R&R budget for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). If you are selected for award, you must submit a multi-year budget for each of these subawardee (See Section IV.D for submission of Subawardees' multi-year budgets). Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and e-mail it to each subawardee that is required to submit a separate budget. Note: Subawardees must have installed PureEdge Viewer before they can complete the form. After the Subawardee has e-mailed its completed budget back to you, attach it to one of the blocks provided on the form. Use up to 10 letters of the subawardee's name (plus .xfd) as the file name (e.g., ucla.xfd or energyres.xfd).

**5. SF-LLL Disclosure of Lobbying Activities**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

**D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.**

The Department anticipates that no additional submissions will be required. However, it reserves the right to request additional or clarifying information for any reason deemed necessary.

**E. SUBMISSION DATES AND TIMES.**

**1. Preapplication Due Date.**

The deadline for receipt of preapplications is 4:30 p.m., Eastern Time, **May 17, 2006**. Preapplications will be reviewed for conformance with the guidelines presented in this Notice and suitability in the technical areas specified in this Notice. A response to the preapplications encouraging or discouraging formal applications will be communicated to the applicants by **June**

30, 2006. Only those preapplicants that receive notification from DOE encouraging a formal application may submit a formal application. **No other formal applications will be considered.**

## **2. Application Due Date.**

Formal applications submitted in response to this notice must be received by 8:00 p.m., Eastern Time **August 30, 2006**, in order to be accepted for merit review and to permit timely consideration for award in Fiscal Year 2007. You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

## **F. GOVERNMENTAL REVIEW .**

This program is subject to Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations at 10 CFR Part 1005.

One of the objectives of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the State's process under Executive Order 12372. The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at <http://www.whitehouse.gov/omb/grants/spoc.html>.

## **G. FUNDING RESTRICTIONS.**

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

## **H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS**

### **1. Where to Submit.**

**APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the "Apply for

Grants” function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

## **2. Registration Process.**

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted)). **We recommend that you start this process at least two weeks before the application due date.** It may take 14 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called “Marketing Partner identification Number” (MPIN).



## **Part V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

#### **1. Initial Review Criteria.**

Prior to a comprehensive merit evaluation, DOE will perform an initial review in accordance with 10 CFR 605.10(b).

#### **2. Merit Review Criteria.**

Applications will be subjected to formal merit review (peer review) and will be evaluated against the following evaluation criteria which are listed in descending order of importance codified at 10 CFR 605.10(d):

1. Scientific and/or Technical Merit of the Project;
2. Appropriateness of the Proposed Method or Approach;
3. Competency of Applicant's Personnel and Adequacy of Proposed Resources;
4. Reasonableness and Appropriateness of the Proposed Budget, and
5. The Utility of the Proposed Instrumentation in Addressing Fundamental Science Issues Pertinent to the BES Research Portfolio.

The external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Non-federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

### **B. REVIEW AND SELECTION PROCESS.**

#### **1. Merit Review.**

Applications will be subjected to formal merit review (peer review) and will be evaluated against the evaluation criteria codified at 10 CFR 605.10(d) listed above, as well as the additional criteria listed above.

#### **2. Selection.**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

#### **3. Discussions and Award.**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government

needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600 and 605; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

**C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.**

DOE is striving to make awards within eight months. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline.

## **Part VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES.**

#### **1. Notice of Selection.**

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part IV.G with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### **2. Notice of Award.**

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by DOE; 4. DOE assistance regulations at 10 CFR Part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances to Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.**

#### **1. Administrative Requirements.**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 and 10 CFR Part 605 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at [http://www.nsf.gov/awards/managing/fed\\_dem\\_part.jsp](http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

#### **2. Special Terms and Conditions and National Policy Requirements.**

##### **Special Terms and Conditions and National Policy Requirements.**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://grants.pr.doe.gov>. The National Policy Assurances To Be Incorporated As Award Terms are located at <http://grants.pr.doe.gov>.

##### **Intellectual Property Provisions.**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/techtrans/sipp\\_matrix.html](http://www.gc.doe.gov/techtrans/sipp_matrix.html).

### **C. REPORTING.**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F4600.2, attached to the award agreement.

## PART VII - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the “Submit Question” feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the “Submit Question” button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE cannot answer these questions.

Questions regarding the program (**technical**) requirements should be directed to:

#### **Agency Contacts:**

For specific information on DOE interests, contact:

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## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS.**

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.**

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

### **C. COMMITMENT OF PUBLIC FUNDS.**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

### **D. PROPRIETARY APPLICATION INFORMATION.**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

### **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application.

Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

**F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

**G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

**H. N/A**

**I. N/A**